OFFICIAL NOTICE AND AGENDA

of a meeting of a City Board, Commission, Department Committee, Agency, Corporation, Quasi-Municipal Corporation or Sub-unit thereof.

Notice is hereby given that the Community Development Authority of the City of Wausau, Wisconsin will hold a regular or special meeting on the date, time and location shown below.

COMMUNITY DEVELOPMENT AUTHORITY BOARD OF THE CITY OF WAUSAU

Tuesday, September 25, 2018 at 12:00 pm
550 E Thomas Street, Wausau, Wisconsin 54403
Andrew Witt, Sarah Napgezek, David Welles, Gary Gisselman, Robert Reinertson, Tom Neal, Rachael Hass

AGENDA ITEMS FOR CONSIDERATION (All items listed may be acted upon)

1. Call the Meeting to Order
2. Public Comment
3. Approval of Minutes from 8/28/2018
4. Overview of Timeline to Closure and Associated Costs for 303-305 S Second Avenue - Former Kraft Cleaners
5. Discussion & Possible Action on Nominations for a Redevelopment Committee
6. Discussion and Possible Action on Authorizing Staff to Enter into a 3-Year Contract with Aspirus Help at Home, Inc. to Provide Personal and Supportive Care Services at Riverview Terrace
7. Operational Issues and Current Activities
   Occupancy Overview
   Loan Program Updates
   2102 N Second Street Disposition Update
8. Adjournment

Andrew Witt - Committee Chair

This Notice was posted at City Hall and faxed to the Daily Herald newsroom on Thursday, September 20, 2018 @ 8:00 am. Questions regarding this agenda may be directed to Christian Schock, Community Development Director, 715-261-6683.

In accordance with the requirements of Title II of the Americans with Disabilities Act (ADA), the City of Wausau will not discriminate against qualified individuals with disabilities on the basis of disability in its services, programs, or activities. If you need assistance or reasonable accommodations in participating in this meeting or event due to a disability as defined under the ADA, please call Christian Schock at (715) 261-6683 or e-mail Christian.schock@ci.wausau.wi.us or the City’s ADA Coordinator at (715) 261-6620 or e-mail clerk@ci.wausau.wi.us at least 48 hours prior to the scheduled meeting or event to request an accommodation.

It is possible that members of, and possible a quorum of members of other committees of the City of Wausau may be in attendance at the above mentioned meeting to gather information. No action will be taken by any such group at the above mentioned meeting other than the committee specifically referred to in this notice.

Distribution List: City Website, City Hall, Media, Committee Members, etc.
COMMUNITY DEVELOPMENT AUTHORITY
MINUTES

08/28/18

MEMBERS PRESENT: Andy Witt, David Welles, Gary Gisselman, Sarah Napgezek, Rachael Hass

MEMBERS ABSENT: Tom Neal, Robert Reinertson

OTHERS PRESENT: Juli Birkenmeier, Betty Noel, Kevin Fabel

(1) Call Meeting to Order
Meeting was called to order at 12:05 pm at 550 E Thomas Street, Wausau, Wisconsin.

(2) Public Comment
None

(3) Approval of Minutes from 7/24/2018
Gisselman made a motion to approve the minutes from 07/24/18. Napgezek seconded. Motion was approved unanimously.

(4) Discussion and Possible Approval of AECOM’s Engineering Services Amendment #10 – Former Kraft Cleaners
Fabel reviewed AECOM’s Amendment #10 covering additional Interim Action services at the former Kraft Cleaners site. He said the amendment will include work for limited “hot spot” removal and other site closure activities. The scope will include $44,191 in DERF-eligible costs, outlined in the WDNR-approved Change Order #16 plus an estimated $15,000 in non DERF-Eligible costs. Fabel said that although this should be the last change order, there will be additional costs for asphalt capping required prior to an estimated 2020 site closure. Welles made a motion to conditionally approve Amendment #10 for WDNR approved Change Order #16 pending receipt, review and approval by Fabel. Napgezek seconded. Motion was approved unanimously.

(5) Finance Committee Report
Witt provided his Chair report from the August 9, 2018, Finance Committee meeting and reviewed the WCDA’s investment sheet as of June 30, 2018. He reported that Noel had completed the process of combining accounts for the Section 8, Riverview Terrace and Redevelopment programs. Witt reviewed the Capital Fund Program (CFP) grant summary stating that the 2016 grant was fully expended in July, 2018. He reported that the 2017 grant has an obligation balance of $175,089 and a disbursement balance of $176,024 and is in full compliance with meeting grant deadlines. Witt said the 2018 grant of $68,416 remains whole and, as anticipated, is significantly lower due to the RAD conversion of Riverview Towers. Witt then reviewed the second quarter financial statements and summaries for the WCDA’s budgeted programs as well as the second quarter financials for Riverview Towers LLC, and further reviewed the items of note contained in his report.

(6) Consideration & Possible Action on Resolution 18-003 Administrative Plan Update – HCV Program and Riverview Towers LLC
Noel explained that the WCDA is required to secure Board approval on revisions made to the Administrative Plan, which is applicable to the operation of its Section 8 Housing Choice Voucher Program, Riverview Terrace, and Riverview Towers LLC. Noel gave a brief overview of the July 2018 updates which ensure continued compliance with HUD regulations. Noel stated that the WCDA subscribes to a service provided by Nan McKay & Associates to ensure that policies are
consistent, current and compliant with HUD regulations. She sought board approval to submit the updated Administrative Plan to HUD’s Milwaukee Field Office for retention in their files. Napgezek moved to approve Resolution 18-003. Welles seconded. Motion carried on a roll call vote 5-0.

(7) Consideration & Possible Action on Resolution 18-004 Admissions and Continued Occupancy Policy (ACOP) Update – Public Housing Program
Noel stated that the WCDA is also required to have Board approval for any updates or revisions made to the Admissions and Continued Occupancy Policy (ACOP), which is applicable to the operation of its Public Housing Program. Noel reviewed the revised sections and iterated that the WCDA also utilizes the services of Nan McKay & Associates for any updates to the ACOP. She sought board approval to submit the revised ACOP to HUD’s Milwaukee Field Office for retention in their files. Welles moved to approve Resolution 18-004. Hass seconded. Motion carried on a roll call vote 5-0.

(8) Discussion & Possible Action on Nominations for a Redevelopment Committee
The board tabled this agenda item until Schock can provide further insight on the mission statement for the committee.

(9) Operational Issues and Current Activities
Occupancy Overview – Noel reported 86% occupancy at Riverview Terrace. She stated that Schock has continued communications with North Central Health Care relative to their interest in either leasing or purchasing Riverview Terrace. Noel reported that Scattered Sites and Riverview Towers are currently at 100% occupancy.

Loan Program Updates – Noel reported that she is working with Terra Plaisance in the Community Development Department (CDD) on five approved Live-It-Up applicants and the timing of their downpayment disbursements. Noel said that Plaisance will provide the WCDA with quarterly Live-It-Up reporting as well as semi-annual repayments. Noel also reported that she presented the transitional housing loan program to the Housing and Homelessness Coalition on August 22, 2018. She recapped that the program is structured to provide a 2% loan(s), of up to $250,000, to assist nonprofit partner organizations in their mission of providing housing options for the homeless or those in housing transition.

Personal and Supportive Care Proposal Update – Riverview Terrace – Noel stated that the current contract with Aspirus Help at Home will expire on December 31, 2018. She provided a multi-year overview of supportive care costs for board review and reported that proposals had been received from both Interim Healthcare and Aspirus Health at Home. She stated that after meeting with both agencies and scoring each proposal based on the criteria/points outlined in the RFP, staff made a recommendation to accept the Aspirus Health at Home proposal. The board requested a draft contract for review at the September meeting.

2102 N Second Street Disposition Update – This agenda item was tabled until next month.

2018 WHEDA Conference – Noel and Birkenmeier attended the annual WHEDA conference on August 21, 2018 in Madison. Noel said they reconnected with Ted Matkom, Gorman & Company, relative to their possible interest in partnering with the CDA on a future project utilizing tax credits.

(10) Adjournment
Meeting adjourned.

Respectfully Submitted,

Andy Witt
Chairperson
### AECOM Approved Costs and Anticipated Costs Remaining to Achieve Closure

<table>
<thead>
<tr>
<th>AECOM Amendment</th>
<th>Approved Costs</th>
<th>Future Costs</th>
<th>Future Costs</th>
<th>Future Costs</th>
<th>Future Costs</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>$$$555$</td>
<td>Option #1</td>
<td>Option #2</td>
<td>Option #3</td>
<td>Option #4</td>
</tr>
<tr>
<td>Initial (0)</td>
<td>$76,633</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>1</td>
<td>$16,446</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>2</td>
<td>$31,850</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>3</td>
<td>$29,985</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>4</td>
<td>$90,445</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>5</td>
<td>$66,523</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>6</td>
<td>$104,234</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>7</td>
<td>$9,317</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>8</td>
<td>$12,586</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>9</td>
<td>$42,900</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>10</td>
<td>$59,000</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>11</td>
<td>$25,000</td>
<td>$33,000</td>
<td>$47,000</td>
<td>$63,000</td>
<td></td>
</tr>
<tr>
<td>Total</td>
<td>$539,919</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Total Out-of-Pocket</td>
<td>$64,919</td>
<td>$72,919</td>
<td>$86,919</td>
<td>$102,919</td>
<td></td>
</tr>
</tbody>
</table>

Option #1: Final DERF Claim + Installation of a 2" Thick Asphalt Cap on Minimum Required Area
Option #2: Final DERF Claim + Installation of a 3" Thick Asphalt Cap on Minimum Required Area
Option #3: Final DERF Claim + Installation of a 2" Thick Asphalt Cap on Expanded Area
Option #4: Final DERF Claim + Installation of a 3" Thick Asphalt Cap on Expanded Area

### Timeline of Events Required to Complete to Achieve Closure

<table>
<thead>
<tr>
<th>Event</th>
<th>Quarter</th>
<th>Year</th>
</tr>
</thead>
<tbody>
<tr>
<td>Limited &quot;Hot Spot&quot; Excavation</td>
<td>Q4</td>
<td>2018</td>
</tr>
<tr>
<td>Seasonal VI Confirmation Sampling Event #1</td>
<td>Q1</td>
<td>2019</td>
</tr>
<tr>
<td>DERF Reimbursement Application #7 Preparation / Submittal</td>
<td>Q1</td>
<td>2019</td>
</tr>
<tr>
<td>Seasonal VI Confirmation Sampling Event #2</td>
<td>Q2</td>
<td>2019</td>
</tr>
<tr>
<td>Conditional Case Closure Achieved with Letter from WDNR</td>
<td>Q3</td>
<td>2019</td>
</tr>
<tr>
<td>Monitoring / SVE Well Abandonment</td>
<td>Q3</td>
<td>2019</td>
</tr>
<tr>
<td>Asphalt Cap Construction and Placement</td>
<td>Q4</td>
<td>2019</td>
</tr>
<tr>
<td>Final (#8) DERF Application / Submittal</td>
<td>Q1</td>
<td>2020</td>
</tr>
<tr>
<td>Final Case Closure Achieved with Letter from WDNR</td>
<td>Q2</td>
<td>2020</td>
</tr>
<tr>
<td>Receipt of Payment for DERF Claim #6</td>
<td>Q4</td>
<td>2020</td>
</tr>
<tr>
<td>Receipt of Payment for DERF Claim #7</td>
<td>Q1</td>
<td>2021</td>
</tr>
<tr>
<td>Receipt of Payment for Final DERF Claim #8</td>
<td>Q1</td>
<td>2022</td>
</tr>
</tbody>
</table>
NOTES AND EXCEEDANCE LEGEND:
5.100
BOLD RESULTS INDICATE NR 720 SOIL TO GROUNDWATER PATHWAY RCL EXCEEDANCE FOR
PCE (1.7 mg/kg).
ALL RESULTS IN MICROGRAMS PER KILOGRAM (µg/kg).
The SVE system was operated seasonally from June 16, 2014 until November 15, 2017.
DERF Reimbursement Claims for Former Kraft Cleaners Site  
DNR BRRTS No. 02-37-000294  
AECOM Project Nos. 60139812 and 60299959  
September 6, 2018

<table>
<thead>
<tr>
<th>DERF Claims Submitted</th>
<th>Type</th>
<th>Amount</th>
<th>Deductible</th>
<th>Net Amount</th>
<th>Date Paid</th>
<th>Est. Pay Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>SI</td>
<td>$50,346.50</td>
<td>$10,000.00</td>
<td>$40,346.50</td>
<td>29-May-2013</td>
<td>--</td>
</tr>
<tr>
<td>2</td>
<td>Immediate Action</td>
<td>$29,777.00</td>
<td>$ -</td>
<td>$29,777.00</td>
<td>26-Nov-2014</td>
<td>--</td>
</tr>
<tr>
<td>3</td>
<td>Interim Action</td>
<td>$55,548.69</td>
<td>$ -</td>
<td>$55,548.69</td>
<td>15-Jun-2016</td>
<td>--</td>
</tr>
<tr>
<td>4</td>
<td>Interim Action</td>
<td>$93,899.75</td>
<td>$2,365.76</td>
<td>$91,533.99</td>
<td>Jan 2018</td>
<td>--</td>
</tr>
<tr>
<td>5</td>
<td>SI</td>
<td>$103,861.14</td>
<td>$8,316.89</td>
<td>$95,644.25</td>
<td>Aug 2018</td>
<td>--</td>
</tr>
<tr>
<td>6</td>
<td>SI (final)</td>
<td>$14,506.00</td>
<td>$1,160.48</td>
<td>$13,345.52</td>
<td>--</td>
<td>Nov 2020</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>$348,039.08</strong></td>
<td><strong>$21,843.13</strong></td>
<td><strong>$326,195.95</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Future DERF Claims</th>
<th>Type</th>
<th>Est. Amount</th>
<th>Est. Deductible</th>
<th>Net Amount</th>
<th>Est. Submittal Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>Interim Action</td>
<td>$120,000.00</td>
<td>$10,960.78</td>
<td>$109,039.22</td>
<td>Winter 2018-19</td>
</tr>
<tr>
<td>8 (final)</td>
<td>Interim Action</td>
<td>$67,960.92</td>
<td>$3,196.09</td>
<td>$64,764.83</td>
<td>after case closure (2019)</td>
</tr>
<tr>
<td><strong>Est. Total</strong></td>
<td><strong>$187,960.92</strong></td>
<td><strong>$14,156.87</strong></td>
<td><strong>$173,804.05</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Grand Totals</strong></td>
<td><strong>$536,000.00</strong></td>
<td><strong>$36,000.00</strong></td>
<td><strong>$500,000.00</strong></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Notes:
1. The maximum DERF award is $500,000.00, per Chapter NR 169.21(4), not including a total deductible of up to $36,000.
2. Per Chapter NR 169.21(3), the deductible is $10,000 plus 8% of the amount by which DERF eligible costs exceed $200,000, if eligible costs exceed $200,000 but do not exceed $400,000.
3. Per Chapter NR 169.21(3), the deductible is $26,000 plus 10% of the amount by which DERF eligible costs exceed $400,000, if eligible costs exceed $400,000.
6. For cost estimating purposes, it is assumed that case closure can be achieved without placement of a continuing obligation on the WCDA and/or property owner to operate and maintain the VMS inside the apartment building at 113 Callon Street after closure.

7. The WDNR will not require additional indoor/outdoor air VI confirmation samples to be collected for analysis prior to case closure.

8. The WDNR will not require additional groundwater monitoring beyond the 6 rounds of monitoring completed at the site by AECOM through June 2018, prior to case closure.

9. The WDNR will require the site to be added to the agency’s online GIS Registry of Contaminated Sites because residual PCE in soil exceeds the NR 720 RCL-gw and PCE in groundwater exceeds the NR 140 ES.

10. Chapter NR 749 fees paid to the WDNR for case closure review and agency database listings are not eligible for reimbursement from the DERF program.

**Cost**
For informational purposes, the following is a summary of the total project costs (approved and proposed) for this site:

<table>
<thead>
<tr>
<th>Description</th>
<th>Amount</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Original Bid</td>
<td>$37,209.00</td>
<td>(approved August 27, 2008)</td>
</tr>
<tr>
<td>Change Order No. 1</td>
<td>$13,980.00</td>
<td>(approved September 15, 2009)</td>
</tr>
<tr>
<td>Change Order No. 2</td>
<td>$75,877.00</td>
<td>(approved May 24, 2013)</td>
</tr>
<tr>
<td>Change Order No. 3</td>
<td>$16,446.00</td>
<td>(approved January 15, 2014)</td>
</tr>
<tr>
<td>Change Order No. 4 (no cost)</td>
<td>$0.00</td>
<td>(approved March 27, 2014)</td>
</tr>
<tr>
<td>Change Order No. 5 (no cost)</td>
<td>$0.00</td>
<td>(approved May 9, 2014)</td>
</tr>
<tr>
<td>Change Order No. 6</td>
<td>$30,180.00</td>
<td>(approved April 28, 2014)</td>
</tr>
<tr>
<td>Change Order No. 7</td>
<td>$28,378.00</td>
<td>(approved June 26, 2014)</td>
</tr>
<tr>
<td>Change Order No. 8</td>
<td>$84,445.00</td>
<td>(approved November 13, 2014)</td>
</tr>
<tr>
<td>Change Order No. 9</td>
<td>$50,523.00</td>
<td>(approved February 12, 2015)</td>
</tr>
<tr>
<td>Change Order No. 10 (email only)</td>
<td>$1,083.00</td>
<td>(approved May 4, 2015)</td>
</tr>
<tr>
<td>Change Order No. 11 (email only)</td>
<td>$3,365.00</td>
<td>(approved September 10, 2015)</td>
</tr>
<tr>
<td>Change Order No. 12</td>
<td>$99,786.00</td>
<td>(approved December 4, 2015)</td>
</tr>
<tr>
<td>Change Order No. 13</td>
<td>$9,917.00</td>
<td>(approved March 1, 2016)</td>
</tr>
<tr>
<td>Change Order No. 14</td>
<td>$12,585.00</td>
<td>(approved November 11, 2016)</td>
</tr>
<tr>
<td>Change Order No. 15</td>
<td>$27,651.00</td>
<td>(approved July 13, 2017)</td>
</tr>
<tr>
<td><strong>Subtotal (DERF approved to date)</strong></td>
<td>$509,828.00</td>
<td></td>
</tr>
<tr>
<td>Change Order No. 16 (Interim Action)</td>
<td>$44,191.00</td>
<td>(proposed)</td>
</tr>
<tr>
<td><strong>Total Project Cost</strong></td>
<td>$554,019.00</td>
<td></td>
</tr>
</tbody>
</table>
case closure review process. Therefore, AECOM has budgeted up to 4 labor hours to address the WDNR's case closure review comments for the site and to submit revised case closure request documentation, if needed. AECOM will notify you if the labor effort to address the WDNR's requests for additional information and/or documentation exceeds our estimate of labor.

**Schedule**

The anticipated schedule for tasks covered by this Amendment is as follows:

1. Limited "Hot Spot" Excavation: Fall 2018
2. Seasonal VI Confirmation Samples/Analysis #1: Winter 2018/2019
3. Seasonal VI Confirmation Samples/Analysis #2: Spring 2019
4. Case Closure Request Submittal: Spring 2019
5. Monitoring/SVE Wells Abandonment: Summer 2019

**Cost Estimate and Authorization to Proceed**

AECOM will perform the services described above on a time-and-material basis, in accordance with the general conditions and commercial terms approved under our proposal, dated January 11, 2013. Estimated consulting costs for tasks covered by this Amendment are based on hourly labor rates approved by the WDNR on September 21, 2016.

Our total fee for these services shall not exceed the following:

<table>
<thead>
<tr>
<th>Amendment No.</th>
<th>Date</th>
<th>Initial Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Initial Proposal (January 11, 2013)</td>
<td>$76,633.00</td>
<td>(approved May 3, 2013)</td>
</tr>
<tr>
<td>Amendment No. 1 (January 17, 2014)</td>
<td>$16,446.00</td>
<td>(approved February 6, 2014)</td>
</tr>
<tr>
<td>Amendment No. 2 (May 5, 2014)</td>
<td>$31,850.00</td>
<td>(approved May 13, 2014)</td>
</tr>
<tr>
<td>Amendment No. 3 (July 10, 2014)</td>
<td>$29,985.00</td>
<td>(approved July 18, 2014)</td>
</tr>
<tr>
<td>Amendment No. 4 (November 14, 2014)</td>
<td>$90,445.00</td>
<td>(approved November 20, 2014)</td>
</tr>
<tr>
<td>Amendment No. 5 (February 13, 2015)</td>
<td>$66,523.00</td>
<td>(approved February 16, 2015)</td>
</tr>
<tr>
<td>Amendment No. 6 (December 10, 2015)</td>
<td>$104,234.00</td>
<td>(approved December 16, 2015)</td>
</tr>
<tr>
<td>Amendment No. 7 (March 3, 2016)</td>
<td>$9,317.00</td>
<td>(approved March 22, 2016)</td>
</tr>
<tr>
<td>Amendment No. 8 (November 15, 2016)</td>
<td>$12,586.00</td>
<td>(approved November 22, 2016)</td>
</tr>
<tr>
<td>Amendment No. 9 (July 21, 2017)</td>
<td>$42,900.00</td>
<td>(approved July 25, 2017)</td>
</tr>
<tr>
<td>Amendment No. 10 (September 7, 2018)</td>
<td>$59,000.00</td>
<td>(proposed)</td>
</tr>
</tbody>
</table>

**Revised Estimated Contract Price**

$539,919.00

If additional services are required, which would cause our fee to be greater than the estimate, we will obtain your prior authorization before proceeding.

The Wausau Community Development Authority can authorize AECOM to proceed with the work described in this proposal by signing and returning the enclosed Authorization to Proceed form at your earliest convenience.
Proposal for:
Riverview Terrace
540 East Thomas Street
Wausau, WI 54403

Supportive Services

Submitted to:
Christian Schock, City of Wausau
Director of Planning, Community & Economic Development
407 Grant Street
Wausau, WI 54403

Aspirus Help at Home, Inc. Contact:
Phillip Hoffman, Interim Vice President
520 N. 32nd Avenue
Wausau, WI 54401
715/847-2969

Due June 1, 2018
3:00 p.m.
Section One: General Information

- Name, address and description of the agency

Section Two: Experience/Capabilities to Provide Services

- Training
- Regulatory Compliance Plan

Section Three: Approach to Tenant Care

- Schedule and Administrative Oversight

Section Four: Cost of Services

- Per Occupancy
- Listing of all insurance provided by Agency

Section Five: Staffing Credentials

- Job responsibilities and Caregiver background check policy
- Leadership resumes

Section Six: Activities for Residents

Section Seven: Special Service Options

Attachment A: Education Modules Personal Care Training
Attachment B: Personal Care Worker Training Guideline/Orientation Record
Attachment C: Process for Survey
Attachment D: Certificate of Liability
Attachment E: Background Checks
Attachment F: Leadership Resumes
Attachment G: Sample Activity Calendar
Attachment H: Private Pay Services
Section One
At Aspirus Help At Home (AHAH), located at 520 N. 32nd Ave. Wausau, WI, 54401, we recognize that many seniors want the benefits of assistance at home. That’s where we come in – to bring affordable home care assistance right to your door so that you can remain as independent as possible for as long as possible.

As a care provider in Central Wisconsin since 1987, we proudly recognize our partnership with the Wausau Community Development Authority (WCDA) at Riverview Terrace (RVT) since 2008.

During the last 11 years, we have worked in partnership to collaboratively grow, staff, and create the environment of living that RVT residents have come to know and trust.

The Aspirus Mission – We heal people, promote health and strengthen communities.

The Aspirus Vision – Aspirus is a catalyst for creating healthy, thriving communities, trusted and engaged above all others.

Aspirus Values:
Compassion – We demonstrate caring in all we do, and cherish the honor of improving lives.

Accountability – We commit to our work, recognize our power to make a difference, and embrace the responsibility to advocate for each person we serve.

Collaboration – As a team we improve our patients’ lives; through partnerships we improve the health of our communities.

Foresight – We plan and act today to impact the future, and sustain and grow vital resources for those who need us.

Joy – We work with happiness and enthusiasm; we celebrate successes and build a positive environment.

We welcome the continued opportunity to help you and our shared RVT clients live safely and independently in their home there. Our team of bonded and insured professionals offers a wide variety of helpful home services including supportive and personal cares for residents. We will work hard to ensure a customized care plan is completed for each resident to ensure that their quality of life at Riverview Terrace is excellent. We are proud to offer full services this contract year as follows:

Personal Care Worker
- Light housekeeping
- Accompany to medical appointments
Meal preparation and planning
Laundry
Shopping or errands (privately paid)
Seasonal Cleaning (privately paid)
Bathing and dressing
Respite care

Facility Services Offered Weekly/Monthly:
- Care Coordination/Admissions Service
- Activities

Key Administrative Personnel and Supervisory Oversight Offered Daily/Weekly/Monthly:
- RVT Coordinator to serve as liaison between RVT and Aspirus and residents
  - Assist with new residents/care plan administration
- Centralized Scheduling
  - Assist with ensuring staffing is appropriate and all shifts are covered
- AHAH Supervisor
  - Provides oversight to staff at RVT, mentors Coordinator, and works directly with WCDA staff for billing, resident, and staff related matters
- Clinical Education
  - Provides educational services for PCW certification
  - Continuing education for all RVT staff
- Human Resources
  - Assists with hiring and policies/procedures of agency for all AHAH staff
  - Assists with mandated caregiver background checks
  - Assists with regulatory survey process

The goal of this proposal is to continue to provide the highest quality of service while maintaining continuity of care, familiarity with caregivers, and work in partnership with the Wausau Community Development Authority (WCDA) to provide a low cost option for independent living in the community.

Section Two:
AHAH has provided services to RVT, a 36-unit handicapped accessible apartment building located near downtown Wausau since 2008. The facility is a Residential Care Apartment Complex (RCAC) licensed to provide each resident up to 28 hours per week of supportive, personal and nursing services. One mid-day meal is provided 7 days per week and supportive services are currently available daily from 7:30 a.m. to 9:00 p.m.
AHAH is quite familiar with the facility and has been responsible for putting together care plans in each apartment that allow not only for safe independent living, but the cleaning of the bedroom, living room, kitchen and bathroom with walk-in shower and laundry.

We work in tandem with existing protocol and policy, including responding to emergency pull-cords and calls for additional requests of services. In addition, a 24-hour Lifeline services works in collaboration with AHAH to safeguard RVT residents. We also work with local fire/rescue to assist with notification of family members and assist with resident falls within the guideline and protocol of the RVT Administration Team.

AHAH assists residents with ensuring that family and friends enjoy the comfortable and friendly environment that residents call home.

AHAH works with the facility’s maintenance department to communicate aesthetic and safety issues timely manner.

AHAH works collaboratively with RVT Administrative staff and other contract staff including food services, skilled nursing, and cosmetology, ensuring that residents receive and have access to all services offered, and that requests and concerns are communicated timely and completely.

AHAH has provided for approximately the past 5 years, organized, creative and scheduled activities. The caring services provided, do not end when socialization is needed.

*Annual Training and CEU’s for PCW for the year included in ATTACHMENT A.*

AHAH prides itself on preparing our staff for the jobs they do in the field and at RVT. We ensure annual competencies are met and allow for a variety of opportunities to get information to the staff.

Some of our training and expertise is completed in our monthly meetings with subject matter expertise, and in conversation with the RVT coordinator and staff in the moment, so we can quickly and efficiently implement change when necessary, and maintain a safe environment for residents.

AHAH also have an on-line annual module of competency called Health Stream of which each employee that include clinical education evaluation, assignment and review.

Additionally, the clinical education department at AHAH offers on-line and recorded training sessions that allows for continued and mandatory education as required by Wisconsin Administrative Code HFS89:

- Performance based visit competency to monitor infection control protocols
- Preceptor program
- Training guideline and Orientation Record Audit (ensures compliance with policies and regulatory compliance); ATTACHMENT B.
Multi-faceted Post-Acute Care curriculum available on-line or download to assist with
  - Assisted Living
    - Survey Readiness/Regulatory Compliance
    - Activities
  - Annual Competencies
  - Home Health
  - Hospice
  - Private Duty
  - Nursing Homes

AHAH has worked in tandem with WCDA to ensure that we maintain survey readiness. Whether it is an annual or bi-annual review of process and facility or a patient care complaint, AHAH has always assisted with the process of showing RVT is a quality, well-operated RCAC in the community.

AHAH realizes that having a process to assist in investigations of incidents and ensuring compliance with training, background checks on staff. This not only safeguards the reputation of the facility, but our credibility and integrity as caring staff at RVT.

Throughout the years, we have had the inevitable opportunity and task of working with RVT on several of these types of requests and events. AHAH works hard to ensure we are always prepared for these events so the process can be as stress-free as possible.

**ATTACHMENT C: Process for Survey.**

### Section Three:

Staffing for RVT will remain consistent with past practice, but there will be augmented Coordinator/Activities Coordinator time.

<table>
<thead>
<tr>
<th>Time Period</th>
<th>Number of Staff</th>
<th>Hours Per Day</th>
<th>Hours Per Week</th>
</tr>
</thead>
<tbody>
<tr>
<td>7:30 a.m. – 1:00 p.m.</td>
<td>2</td>
<td>11</td>
<td>77</td>
</tr>
<tr>
<td>1:00 p.m. – 4:00 p.m.</td>
<td>1</td>
<td>3</td>
<td>21</td>
</tr>
<tr>
<td>4:00 p.m. – 8:00 p.m.</td>
<td>2</td>
<td>8</td>
<td>56</td>
</tr>
<tr>
<td>8:00 p.m. – 9:00 p.m.</td>
<td>1</td>
<td>1</td>
<td>7</td>
</tr>
<tr>
<td>Team Leader</td>
<td>1</td>
<td>2</td>
<td>10</td>
</tr>
<tr>
<td><strong>Totals</strong></td>
<td><strong>25</strong></td>
<td><strong>171</strong></td>
<td></td>
</tr>
</tbody>
</table>

AHAH proposes that all care coordination and administration be provided by 10 hours of Coordinator hours weekly. This position will include admissions, care plan development, and administrative oversight including liaison duties between residents, staff and management.
Section Four:
The proposed Cost for Services at RVT through AHAH are as follows showing a very minimal increase, but a change in charging the same rate each month, regardless of census. This will assist in reducing the administrative billing process for both the WCDA and AHAH.

Billing will be done monthly and will be the same regardless of census on each month at the proposed annual rates:
Per the

2019:
33 single units at $630

2020:
33 single units at $640

2021:
33 single units at $650

AHAH reserves the right to charge a minimal fee, not to exceed $10 per person, per event for organized activities that exceed the activities budget. Residents will be responsible for full payment prior to these organized crafting or travel activities.

ATTACHMENT D: Certificate of Liability.

Section Five:
Staffing Requirements will be as follows for RVT:

Personal Care Worker Requirements:
MINIMUM KNOWLEDGE, SKILLS AND ABILITIES REQUIRED:

- Knowledge of basic care standards and practices normally acquired through completion of a minimum of 40 hours of personal care worker training and competency testing, with experience in personal care or a related health care field and a high school diploma or GED beneficial.
- Current CPR certification required.
- Is able to travel to patient/client homes to provide patient/client care:
  - Possesses a valid Wisconsin Driver’s License (required).
  - Possesses automobile liability insurance with minimum $100,000/$300,000 coverage (required), or $300,000 combined single-limit liability.
  - Has an acceptable driving record.
- Annual competencies as required by Aspirus and/or various regulatory agencies based on entity and/or position.
Extended Care Program Coordinator/Activities Coordinator Requirements:
MINIMUM KNOWLEDGE, SKILLS AND ABILITIES REQUIRED:

- Knowledge of basic care standards and practices normally acquired through completion of a minimum of 40 hours of personal care worker training and competency testing, with experience in personal care or a related health care field and a high school diploma or GED beneficial.
- Current CPR certification required.
- Previous supervisory experience in a healthcare setting beneficial.
- Is able to travel to patient/client homes to provide patient/client care:
  - Possesses a valid Wisconsin Driver's License (required).
  - Possesses automobile liability insurance with minimum $100,000/$300,000 coverage (required), or $300,000 combined single-limit liability.
  - Has an acceptable driving record.
- Annual Competencies as required by Aspirus and/or various regulatory agencies based on entity and/or job position.
- Passes all Aspirus requirements for background and drug screening.
- Recreational Therapy Certification preferred.

All Aspirus employees have Caregiver Background Checks conducted.

ATTACHMENT E: Caregiver Background Checks policy
ATTACHMENT F: Leadership Resumes

Section Six:

Maintaining an activities calendar and providing exciting and fun entertainment for RVT residents has traditionally been a request by both residents and WCDA administration. With some additional RVT Coordinator and Activities Coordinator hours, we will gladly provide more activities for RVT residents. AHAH proposes a minimum of two organized activities per month, and offers up coordination and communication of activities and RVT announcements as part of this service.

The need to relax, play, and experience joy, and companionship does not go away when one ages. AHAH proposes a creative approach that is both cost affective, but important to the culture and value that RVT has proudly provided to residents. We will go above and beyond Bingo for RVT in proposing the following requests, changes, and activities:

Activities Board

Have a nice organized and accessible activities board that allows Coordinator, RVT staff, and WCDA administration access, that serves as an important communication tool, not only for activities, but important announcements such as RVT residents meetings and when nurses are scheduled to be present.

Planning and coordinating seasonal events that allows for this assists in residential satisfaction in choosing RVT and remaining satisfied in their chosen home.
Music
There are ample opportunities to partner with local music clubs. We also can help provide the music to create a memorable and safe environment to do so for RVT residents.

Classes and Workshops
Learning is a joy and lifelong learning opportunities are a crucial ingredient in any great senior activities-program. We propose working with local geriatrics programs including NTC and/or other organizations to allow for possible classes and workshops that are both engaging and relevant to RVT residents.

Fitness
RVT residents can improve their health and wellbeing by teaching residents the value of moving and enjoying exercise.

ATTACHMENT G: Sample of activities calendar.

Section Seven:

PRIVATE PAY
Specially requested times and services have historically been requested of RVT – assigned AHAH staff. AHAH proposes several solutions to ongoing requests. We would propose and request the opportunity to better serve our shared residents by allowing residents to purchase privately, additional services. This would be supervised and processed through our existing private duty business, and the private duty contract would be signed between the purchaser of the services and our agency.

This would also allow family members to purchase or customize their services outside of what RVT can offer and within their budgets and service requests.

ATTACHMENT H: Private Pay options
Educational Modules Personal Care Training

<table>
<thead>
<tr>
<th>Topic</th>
<th>Requirement</th>
</tr>
</thead>
<tbody>
<tr>
<td>Types of Elder Abuse and Neglect</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>Daily Care: Bathing and Dressing</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>Daily Care: Toileting and Grooming</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>Calling 911</td>
<td>Required</td>
</tr>
<tr>
<td>Handling Difficult Situations and Behaviors</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>Nutrition and Hydration</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>Safety in Home Care</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>Core All Hazards Emergency Preparedness &amp; Response</td>
<td>Required Annually</td>
</tr>
<tr>
<td>Core Infection Control</td>
<td>Required with Refreshers and skill check off</td>
</tr>
<tr>
<td>Preventing Falls in the Home</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>Professional Boundaries in Home Care</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>State of Wisconsin Caregiver Project-Misappropriation</td>
<td>Required Annually</td>
</tr>
<tr>
<td>Hand Hygiene</td>
<td>Required with Refreshers and skill check off</td>
</tr>
<tr>
<td>Confidentiality Statement</td>
<td>Required Annually</td>
</tr>
<tr>
<td>Companion Homemaker –Roles and Responsibilities</td>
<td>Required with Refreshers</td>
</tr>
<tr>
<td>Service Excellence- I am the Patient Experience</td>
<td>Required Part of New Hire Training</td>
</tr>
<tr>
<td>CPR</td>
<td>Required with renewal every 2 years</td>
</tr>
<tr>
<td>Helping with Activities of Daily Living</td>
<td>Required with Refreshers</td>
</tr>
</tbody>
</table>
## ATTACHMENT B

### Personal Care Worker Training Guideline/Orientation Record

<table>
<thead>
<tr>
<th>DAY 1</th>
<th>Complete d</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>About Post-Acute Care</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Computer/Password</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cell Phone Policy#6884</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Work Issued Phone/Issuance Form to Sign</td>
<td></td>
<td></td>
</tr>
<tr>
<td>E-mail/Voicemail/Text Messaging/Communication</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CellTrak Training</td>
<td></td>
<td></td>
</tr>
<tr>
<td>CellTrak Down Paperwork</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Travel and Mileage Reimbursement Policy#7029</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Confidentiality Policy#3867</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Dress Code/Personal Hygiene Policy#10091</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Supply Bag (received and checklist verified)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Work Area and Bag Technique Guidelines</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Flow charts/Cleaning Guidelines</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>DAY 2</th>
<th>Complete d</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>What if I am unable to work/Answering service for Non-Business Hours</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Attendance and Punctuality Policy#7533</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Paid Time Off Policy#7150, PTO Request Form, PTO sign off</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Weekend Differential Policy#6428</td>
<td></td>
<td></td>
</tr>
<tr>
<td>PM Differential Policy#6450</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Meals and Rest breaks Policy#6076</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Client Cancellation Policy#6851</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Scheduling process</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Role of Personal Care Worker</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Customer Service Expectations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Complaint Resolution</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Patient/Client Relations Policy#7361</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Professional Boundaries for Caregivers</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Patient Rights &amp; Responsibilities Policy#7420</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Transportation of Clients Policy#7147</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Automobile Safety Policy#6978 and Checklist with signature</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Client Log Book Requirements for Documentation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Cash Receipt Form</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Personal Care Worker Training/Checklist</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Day 3</th>
<th>Complete d</th>
<th>Date</th>
</tr>
</thead>
<tbody>
<tr>
<td>Exposure/Infection Control Plan Policy#6784, tutorial on-line</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Patient Safety Event Reporting Polity#3289, App on phone</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Staff Injuries and Recorded Expectations</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Emergency Contact Form</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Winter Safety Information/Supplies</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Continuing Education/Healthstream</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Documentation of Provider Training Form</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Leave of Absence Policy#7433</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Funeral Leave Policy#6094</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Children in the Workplace Policy#10256</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Referral Bonus Form/Vision Award</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Supervisory Visits
Initial Visit Mapping Visio
Information about Population Served

I acknowledge the above orientation was completed.

Staff Signature: _________________________________ Date: __ ___________

Preceptor Signature: _______________________________  Date: __ ___________

Notes:_______________________________________________________________________
    _______________________________________________________________________

Addendum to Orientation for SHC/PCW

<table>
<thead>
<tr>
<th>CLASS/TRAINING</th>
<th>Met objectives (Trainer’s initials &amp; date)</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Completed assigned HealthStream Modules/Courses (located in the HealthStream Learning Center).</td>
<td></td>
</tr>
<tr>
<td>2. Celltrak Training</td>
<td></td>
</tr>
<tr>
<td>3. Dailies &amp; recording employee work time (if applicable for celltrak downtime)</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SKILL/COMPETENCY</th>
</tr>
</thead>
<tbody>
<tr>
<td>4. Completed all applicable department competencies in HealthStream Competency Center:</td>
</tr>
<tr>
<td>• Performance Based Visit</td>
</tr>
<tr>
<td>• Infection Control</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>WELCOME &amp; AGENCY OVERVIEW</th>
</tr>
</thead>
<tbody>
<tr>
<td>5. Answering service for non-business hours</td>
</tr>
<tr>
<td>6. Emergency &amp; community resources/911/Emergencies in the home</td>
</tr>
<tr>
<td>7. Continuing education/Initial and annual competencies</td>
</tr>
<tr>
<td>8. Customer service expectations/survey/complaint resolution</td>
</tr>
<tr>
<td>9. HIPAA, confidentiality and securing patient records</td>
</tr>
<tr>
<td>10. Equipment issued (checklist and agreement)</td>
</tr>
<tr>
<td>11. Client Log Book Requirements for Documentation</td>
</tr>
<tr>
<td>WELCOME &amp; AGENCY OVERVIEW (cont)</td>
</tr>
<tr>
<td>----------------------------------</td>
</tr>
<tr>
<td>12. Cash Receipt Form</td>
</tr>
<tr>
<td>13. Personal Care Worker Training/Checklist</td>
</tr>
<tr>
<td>14. Flow charts &amp; skills evaluation</td>
</tr>
<tr>
<td>15. Staff Injuries &amp; Recorded Expectations/Post injury response procedure handout</td>
</tr>
<tr>
<td>16. Emergency Contact Form</td>
</tr>
<tr>
<td>17. Winter Safety Information/Supplies</td>
</tr>
<tr>
<td>18. Documentation of Provider Training Form</td>
</tr>
<tr>
<td>19. Referral Bonus Form/Vision Award</td>
</tr>
<tr>
<td>20. Supervisory Visits</td>
</tr>
<tr>
<td>21. Initial Visit Mapping Visio</td>
</tr>
<tr>
<td>22. Information about Population Served</td>
</tr>
</tbody>
</table>
Process for Survey
## ATTACHMENT D:

### Certificate of Liability Insurance

**Issued by:** ACORD

**Date:** 7/1/2016

**Certificate Number:** 13633120

**Insured:** ASPIRUS, INC.

**Address:** 333 Pine Ridge Blvd., Wausau, WI 54401

**Producers:**
- Lockton Companies

**Inurers:**
- MHA Insurance Company

### Coverages

<table>
<thead>
<tr>
<th>Type of Insurance</th>
<th>Description</th>
<th>Policy Number</th>
<th>Policy Effective Date</th>
<th>Policy Expiration Date</th>
<th>Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A</strong></td>
<td>Commercial General Liability</td>
<td>003MD30000006903</td>
<td>7/1/2017</td>
<td>7/1/2018</td>
<td>$1,000,000 each occurrence</td>
</tr>
<tr>
<td><strong>A</strong></td>
<td>Umbrella Liability</td>
<td>003MD30000006902</td>
<td>7/1/2017</td>
<td>7/1/2018</td>
<td>$25,000,000 aggregate</td>
</tr>
<tr>
<td><strong>A</strong></td>
<td>Professional Liability</td>
<td>003W30000006910</td>
<td>7/1/2017</td>
<td>7/1/2018</td>
<td>$1,000,000 each claim</td>
</tr>
</tbody>
</table>

**Description of Operations/Locations/Vehicles (ACORD 101, Additional Remarks, Schedule may be attached if more space is required):**

Evidence of Coverage: Aspirus VNA Extended Care, Inc. dba Aspirus Help at Home is named as an Insured.

**Certificate Holder:**

13633120

Aspirus Help at Home

520 N 32nd Ave

Wausau WI 54401

**Authorized Representative:**

[Signature]

© 1988-2015 ACORD Corporation. All rights reserved.
SUBJECT: CAREGIVER BACKGROUND CHECKS

PURPOSE:
TO ASSURE THE SAFETY AND WELL-BEING OF ASPIRUS, INC. PATIENTS AND STAFF THROUGH COMPLIANCE WITH CAREGIVER BACKGROUND CHECKS.

AREAS AFFECTED:
All Aspirus, Inc. entities covered under Wisconsin Statute §50.065 and/or Chapter DHS 12 (for Aspirus Ontonagon Hospital, please see entity-specific guidelines).

FORMS USED:
Wis. DHS-64
Wis. EXS-263

DEFINITIONS:
Employee: Individual employed directly by Aspirus, Inc.; volunteers; and students.

Contractor: Individual or organization with whom Aspirus has a contract to provide services that meet the “caregiver” definition as outlined in §50.065 Wisconsin Statute or Chapter DHS 12.

Applicant: Individual making application for status as an Aspirus employee, contractor, volunteer, and student.

POLICY:
I. Aspirus, Inc. makes every effort to ensure the safety of its patients, visitors, and staff.

II. No person shall be employed, contracted, or placed as a volunteer who has:
   A. Been convicted of a serious crime as defined under DHS12 and §50.065 Wisconsin Statute.
B. Been found by a unit of government to have abused or neglected a patient or misappropriated property of a patient.

C. Been determined under the Children’s Code to have abused or neglected a child.

D. A license, certificate, or registration which, if required, is not current or which is limited so as to restrict the person from providing adequate care.

III. All Aspirus, Inc. entities covered under §50.065 Wisconsin Statute or Chapter DHS 12 Caregiver Background Checks are in compliance with the provisions contained in them.

IV. Caregiver Background Checks are completed on existing employees, contractors, and volunteers that meet the “caregiver” or “contractor” definition every four (4) years or sooner. This includes a good faith effort to obtain out of state criminal background checks and military discharge status, if the person lived out of state or was discharged from the military within the last three (3) years of the date of the Caregiver Background Check.

V. Aspirus retains the right to conduct Caregiver Background Checks on any employee/contractor it deems necessary, based on job classification, job duties and/or credible information received which may indicate substantially job-related criminal convictions and/or pending charges.

VI. Any individual falsifying or omitting any employment-related documents relative to this policy is subject to termination, and any other sanctions outlined in §50.065 Wisconsin Statute or DHS 12. Exceptions must be authorized by the Vice President of Human Resources. Any employee whose actions result in termination may reapply after 6 months.

VII. All employees, contractors, and volunteers must notify Human Resources or the Supervisor of their department as soon as possible, but no later than the person’s next working day, when charged with or convicted of any crime, or when one has been or is being investigated by any governmental agency for any act, offense or omission, including an investigation related to the abuse or neglect of, or threat of abuse or neglect to a child. Any employee/contractor not complying with this is subject to termination and any sanctions outlined in §50.065 Wisconsin Statute and DHS 12.

VIII. Caregiver background check information may be obtained from another entity or temporary employment agency that has acquired it or, Aspirus may share this same information with other entities or individuals, as legally required by §50.065 Wisconsin Statute and DHS 12.

IX. All forms and related information pertaining to this policy shall be maintained in Human Resources. Aspirus Comfort Care & Hospice Services (ACCHS) shall maintain ACCHS volunteer caregiver background check information.

PROCEDURE:
I. New Applicants/Contractors/Volunteers
   A. Job applicants, covered contractors, and volunteers complete a Background Information Disclosure form at the time of interview.
   B. If there are no convictions or pending charges as outlined in §50.065 Wisconsin Statute or DHS 12, or no other job-related convictions, the person may be employed for up to 60 days, pending receipt of a completed Caregiver Background Check.
C. When Aspirus learns from the Background Information Disclosure form that an applicant has had a rehabilitation review from the Department of Health and Family Services, Aspirus shall request from the rehabilitation review agency a copy of the rehabilitation review decision. If the rehabilitation review decision was an approval, Aspirus shall determine whether the approval can be applied to employment as a caregiver or contract with an entity that the applicant currently seeks. Safety and the well-being of patients shall be the primary criteria when making this decision.

D. If a conviction or pending charge is revealed on the Background Information Disclosure form, a determination is made relative to:

1. Whether or not the conviction is covered under §50.065 Wisconsin Statute or DHS 12, AND

2. Whether or not the conviction or pending charge is substantially job related.

E. To determine whether a crime, delinquency adjudication under s. 48.685 (5m) or 50.065 (5m) Stats., or conduct relating to a governmental finding of abuse or neglect of another or of misappropriation of another’s property is substantially related to the care of a client, Aspirus may consider all of the following:

1. In relation to the job, any of the following:
   a. The nature and scope of the job’s client contact.
   b. The nature and scope of the job’s discretionary authority and degree of independence in judgment relating to decisions or actions that affect the care of clients.
   c. The opportunity the job presents for committing similar offenses.
   d. The extent to which acceptable job performance requires the trust and confidence of clients or a client’s parent or guardian.
   e. The amount and type of supervision received in the job.

2. In relation to the offense, any of the following:
   a. Whether intent is an element of the offense.
   b. Whether the elements or circumstances of the offense are substantially related to the job duties.
   c. Any pattern of offenses.
   d. The extent to which the offense relates to vulnerable clients.
   e. Whether the offense involves violence or a threat of harm.
   f. Whether the offense is of a sexual nature.

3. In relation to the person, any of the following:
   a. The number and type of offenses the person committed or for which the person has been convicted.
   b. The length of time between convictions or offenses, and the employment decision.
   c. The person’s employment history, including references, if available.
   d. The person’s participation in or completion of pertinent programs of a rehabilitative nature.
   e. The person’s probation or parole status.
f. The person’s ability to perform or to continue to perform the job consistent with the safe and efficient operation of the program and the confidence of the clients served including, as applicable, their parents or guardians.
g. The age of the person on the date of conviction or dates of conviction.

F. Individuals who have been convicted of a crime that is either substantially job related, or is covered under §50.065 Wisconsin Statute or DHS 12, will be denied employment. In the case of a pending charge that is covered under §50.065 Wisconsin Statute or DHS 12, or is substantially job-related, employment will be suspended or denied until the pending charge is resolved.

G. If a Background Information Disclosure form, a Caregiver Background Check, or any other information shows that a person was convicted of any of the offenses listed below within five (5) years before the information was obtained, Human Resources shall make every reasonable effort to contact the Clerk of Courts to obtain a copy of the criminal complaint and judgment of conviction relating to that conviction.

940.19(1) Misdemeanor battery
940.195 Battery to an unborn child
940.20 Battery, special circumstances
941.30 Reckless endangerment
942.08 Invasion of privacy
947.01 Disorderly conduct
947.13 Harassment

II. Current Employees, Contractors, and Volunteers

A. Current employees and contractors will be notified when they must complete a Background Information Disclosure form.

B. Caregiver Background Checks may be initiated for any employee/contractor at any time, with or without notice, in compliance with the §50.065 Wisconsin Statute or DHS 12, as applicable.

C. Employees must notify their supervisor as soon as possible, but no later than the person’s next working day, of any criminal conviction that results from a violation of law in the workplace.

D. Current employees, contractors, and volunteers who have been convicted of a crime that is covered under §50.065 Wisconsin Statute or DHS 12, will be suspended from employment and given information on how to apply for Rehabilitation Review through the Department of Health Services at: http://dhs.wisconsin.gov/caregiver/publications/CgvrProgMan.htm

If the employee, contractor, or volunteer does not apply for Rehabilitation Review within 30 days, the employment, contract, or placement will be terminated.
If/when the person receives rehabilitation review approval, the Employee Relations Specialist, Department Director, and Human Resources Director will determine whether to:

1. Terminate employment, contract, or placement as a volunteer
2. Reinstate to a position which is vacant at the time of approval
3. Reinstate to a position subject to certain limitations including but not limited to prohibition on certain activities, additional monitoring or supervision or training, periodic alcohol or drug testing, and any other actions needed to maintain safety of patients.

E. The hiring Director, Employee Relations Specialist, and Human Resources Director or their designees shall maintain a record of their deliberations and the conclusions that were reached. The record shall be maintained in the Human Resources Department.

REFER TO:
- §50.065 Wisconsin Statute
- DHS12
- Workforce Background Checks (Aspirus Ontonagon Hospital Policy #AD-477)

AUTHOR:
John Heisler
Sr. Vice President/Chief Human Resources Office
3/15/17
LEADERSHIP RESUMES

PHILLIP HOFFMAN

14 Tillinghast Place
Buffalo, New York 14216
phoffman78@gmail.com

Cell: (516) 448-8039
Home: (716) 931-9729

Senior Executive with proven success driving profitable growth in diverse service sectors. Skilled in P&L/general management, multisite operations, finance, turnarounds, business development, and strategic planning.

- Reversed $12M loss to $15M profit in 1 year by changing business mix, increasing productivity, streamlining operations, and consolidating locations from 98 to 80.
- Managed 35% compound annual revenue growth over 6 years with continuously improved operating profit margins.
- Built regional call center to triage service delivery efficiencies for insurers with geographically dispersed members; revised intake processes resulted in 50% reduction in commercial contract bad debt.
- Interim management operational and financial turnaround for a hospital affiliated home health agency, reversing large operating losses while improving clinical outcomes.

Multifaceted Catalyst who spearheads initiatives, assumes accountability, develops/implements action plans and delivers results.

- Transformed new business referral patterns with specialized disease management programs marketed directly to physicians, resulting in 20% revenue growth in high margin services.
- Led IPO effort.

Industry Leader with public presence and excellent communication skills.

- Testified before U.S. Senate Finance Committee and U.S. House Ways and Means Committee numerous times on Medicare policy issues.
- Led the home health industry in developing and enacting a Medicare prospective payment reimbursement system.
- Featured speaker at national and state trade association events; Board member for state trade associations.

MBA, Finance – Columbia University Graduate School of Business
MA Equivalent, Economics – Columbia University Graduate School of Arts and Sciences
BA, Economics, summa cum laude – State University of New York At Albany

PROFESSIONAL EXPERIENCE

WELLESPAN HEALTH SYSTEM – York, Pennsylvania
Interim President, Wellspan VNA
- Led EHR conversion from Corner to EPIC
- Improved operating profit by 30% (annualized)

RIVER VALLEY HEALTH PARTNERS HEALTH SYSTEM – East Liverpool, Ohio
Interim CEO, Ohio Valley Home Health Services, Inc.
- Reversed $800K annualized operating loss to breakeven in less than 3 months.
- Restructured clinical operating model to improve communication, accountability and clinical outcomes.
- Reorganized billing/collection process to improve revenue cycle performance.
- Led agency through CMS application, survey and certification process for new provider in West Virginia.
- Renegotiated managed care contracts to improve gross margins.

Interim Health System Revenue Cycle Executive - East Liverpool City Hospital/River Valley Physicians Group
- Redesigned and implemented health system registration process through creation of a "Pre Arrival" team to improve insurance verification process and establish pre service and Point of Service collection opportunities for patient cost share.

ACCENT CARE – Dallas, Texas
($450M multi-state provider of home health and hospice services)
Senior VP, Operations
- Re-engineered clinical operating model to improve profitability and clinical outcomes
- Centralization/regionlization of managed care authorization management and intake functions

WILLCARE – Buffalo, NY
($80M multi-state provider of home health and community based services)
Chief Operating Officer
- Successful launch of new clinical operating model designed to improve efficiency, clinical outcomes and patient satisfaction
- Improved profit margins in an environment of shrinking governmental reimbursement rates
- Implemented EMR platform companywide
CHAMBERLIN EDMONDS & ASSOCIATES – Atlanta, GA
($75M provider of revenue cycle eligibility services to hospitals) 2003 to 2009

Senior VP, Operations
- P&L and customer relationship responsibility for 95 hospital installations in 15 states with 275+ employees.
- 90%+ customer retention; high percentage of add on sales to established base.
- Rapid growth and strong profitability culminated in sale of company to high profile PE organization.

GENTIVA HEALTH SERVICES – Melville, NY
($1.5B publicly held provider of home health, infusion and network services) 1997 to 2002
Vice President, Finance, ’97-’00
- Led development and implementation of corporate restructuring in response to change in Medicare payment policy.
- Managed post-merger operational integration of $200M acquisition.

Senior VP, Operations, ’00-’02
- P&L responsibility for $150M division of 75 home health and 5 infusion pharmacy branches with 500+ employees.
- Increased conversion rate on referred cases 10% by revising branch incentive structure.

OUTREACH HEALTH SERVICES – Austin, TX
($850M multi-state provider of home health and community based services) 1992 to 1997

Chief Financial and Chief Operating Officer
- P&L responsibility for all lines of business with 2,000+ employees; grew revenue by 15% per year.
- Reduced cost per unit of service by 5% by creating productivity standards and scheduling controls.
- Launched new businesses to manage hospital based home care and a statewide managed care network.

GIRLING HEALTH CARE – Austin, TX
($55M multi-state provider of home health care, DME and pharmacy services) 1984 to 1992

Chief Financial Officer, ’84-’89
- Restructured asset based bank lending agreement and Medicare audit liability payment obligations.
- Managed IT billing system development and accounting system conversion.
- Drove successful application for Certificate of Need in New York City.

Chief Operating Officer, Chief Financial Officer, ’89-’92
- P&L responsibility for all service/product lines with 1,000+ employees across five states.
- Secured joint venture agreements with other service providers and PPO contracts with payers.

GULF+WESTERN INDUSTRIES, Manager, Corp. Planning – acquisition analysis; marketing consulting to operating units.
# Barb Austin

715-370-2475  
Plover, WI 54467  
Barb.austin@aspirus.org

<table>
<thead>
<tr>
<th><strong>Objective</strong></th>
<th>To continue working with Aspirus to provide exceptional care to those who choose us</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Skills &amp; Abilities</strong></td>
<td>Team management, fiscal accountability, time management</td>
</tr>
</tbody>
</table>

| **Experience** | **February 1989 – Current**  
Aspirus Help at Home  
Southern Wisconsin Region Supervisor  
**May 1988 – August 1988**  
Marshfield Medical Research Foundation  
Data Coordinator  
- Gather farm accident information from patient charts for further research and investigation |

| **Education** | Mid-State Technical College – Marshfield, WI – Health Unit Coordinator Degree  
May 1988  
Graduated with High Honors  
Medical terminology, Biology, Communication, Ethics and the Law |

| **Community** | Served as Portage County Board Supervisor representing residents in my district |

| **References** | Shannon Hardy, RN  
608-547-8900  
Theresa Zorzin, Nanny  
715-321-2848 |
Kelly J Gajewski  
N1704 Leafy Grove Rd  
Merrill, Wisconsin 54452  
(715) 316-1310  
chesmorek76@yahoo.com

PROFESSIONAL SUMMARY
I am currently the Extended Care Program Coordinator for Riverview Terrace Assisted Living.

SKILLS
I collaborate with the City of Wausau HUD Department and Aspirus Help at Home Extended Care Supervisor in provision of supportive home care and PCW services for Riverview Terrace. I provide support to team members and residents in the planning, delivery and documentation of resident care. I also facilitate communication within the team structure.

WORK EXPERIENCE
2/2016 to present  
Aspirus Help At Home  
520 N. 32nd Ave  
Wausau, Wisconsin  
Extended Care Program Coordinator  
Provide personal cares to residents in an assisted living center according to the care plan. I assist in coordinating activities for the residents. Ensure the safety and wellbeing of residents and staff. I assist with training of new staff members. Coordinate staff to meet the needs of specific residents. Maintain current client information. Assist with scheduling and organizing team meetings to discuss Riverview Terrace needs. Demonstrate a high level of commitment to excellence in customer service. I use agency resources effectively and efficiently.

1/2014 to 2/2016  
Copperleaf Management Group  
Stevens Point, Wisconsin  
Team Lead  
I was responsible for training new staff. I made sure resident files were current. I was also responsible for keeping track of residents medications. I also assisted residents with all activities of daily living. I am also a certified medication administrator.

EDUCATION
6/2013 to 8/2013  
Northcentral Technical College  
Emergency Medical Technician

2/2013 to 6/2013  
Northcentral Technical College  
Certified Nursing Assistant
Activity Services

Sample Activity Calendar:

<table>
<thead>
<tr>
<th>Month</th>
<th>Week 1</th>
<th>Week 2</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jan</td>
<td>Craft</td>
<td>Bingo</td>
</tr>
<tr>
<td>Feb</td>
<td>Music/Piano</td>
<td>Trivia/winter Trip</td>
</tr>
<tr>
<td>March</td>
<td>Plinko</td>
<td>Music/Piano</td>
</tr>
<tr>
<td>April</td>
<td>Evening musical act</td>
<td>“Singing in the Rain” sing-along.</td>
</tr>
<tr>
<td>May</td>
<td>May Day spring trip</td>
<td>Daycare Tour</td>
</tr>
<tr>
<td>June</td>
<td>Salad supper</td>
<td>Music/Piano</td>
</tr>
<tr>
<td>July</td>
<td>Summer Trip</td>
<td>Music/Piano</td>
</tr>
<tr>
<td>Aug</td>
<td>Bingo</td>
<td>Flower Arranging</td>
</tr>
<tr>
<td>Sept</td>
<td>Fall Tour</td>
<td>Trivia</td>
</tr>
<tr>
<td>Oct.</td>
<td>Trick or Treat with local Daycare</td>
<td>Soup Supper</td>
</tr>
<tr>
<td>Nov.</td>
<td>Evening musical act</td>
<td>Plinko/dancing</td>
</tr>
<tr>
<td>Dec.</td>
<td>Christmas Cookie Baking</td>
<td>Children’s Choir</td>
</tr>
</tbody>
</table>
Private Pay Services

Supportive Home Care (SHC) Services: ................................................................. $22/Hr.

Personal Care Worker Services: ................................................................. $25/Hr.

Private Duty Nursing: .............................................................................. $93/Hr.

Transportation/Mileage Fee with person and without: ......................... $.55/Mi.
Occupancy Overview

September 25, 2018

Riverview Towers (149)
- 100% Occupancy

Riverview Terrace (36)
- 6 vacancies
- 83% Occupancy

Scattered Sites (46)
- 1 vacancy
- 97% Occupancy

Housing Choice Voucher (243)